



## **Our commitment to research security, integrity and safety**

**Dear Mines Community,**

The integrity and security of our research enterprise, in physical and cyber space, are essential for *everyone* in our research and teaching community. Our students, scientific colleagues, and the public are counting on each of us to do our part to uphold the security and integrity of our research endeavors. Mines' commitment to research security and integrity is demonstrated by the university's ongoing efforts in cultivating a community that engages in the responsible conduct of research, ethical treatment of human subjects of research, research safety, transparency in disclosures of conflicts of interest and conflicts of commitment, and observance of export control and trade requirements. The reputation of Mines as a leading research university is built upon our demonstrated commitment to these principles. Each of these topics is described briefly below, and more information is available at <https://research.mines.edu/research-integrity/>.

### **Responsible Conduct of Research and Allegations of Research Misconduct**

Mines is committed to educating and training all active researchers in the ethical conduct of research, and has established policies and procedures to educate active researchers on the six core values of integrity in research: objectivity, honesty, openness, accountability, fairness, and stewardship. When allegations of research misconduct arise, the university investigates such allegations fairly, promptly, and confidentially, in accordance with federal regulations.

### **Human Subjects Research**

The university's Human Subjects Review Team carefully considers the research designs of studies involving human participants to ensure adequate protection of the rights, welfare and wellbeing of the participating human subjects. In addition to evaluating and approving exempt human subjects research protocols, the Human Subjects Review Team identifies those studies involving the potential of risks to human participants and assists researchers in connecting with an external Institutional Review Board for protocols requiring review. Each member of a research team having oversight of a human subjects study must complete a required training program on human subjects research prior to commencing any part of the research study.

### **Research Safety Culture**

Mines takes our responsibility to research safety seriously. Every student and employee who studies or works in a laboratory, or who conducts field research, must be able to do so in a safe and responsible manner. Mines provides training on laboratory and workshop

safety, proper use of equipment and materials, field session activities, and Title IX training focused on maintaining a safe and healthy environment for all Mines community members. The safety and health of every member of our community is vital, and in research settings, each of us must look out for one another's safety, as well.

### Research Conflicts of Interest

Conflicts of Interest (COI) have the potential to jeopardize the objectivity and integrity of the university's research enterprise. Accordingly, all researchers engaged in the design, reporting, or conduct of research submit an annual COI disclosure form, and provide timely updates when changes in external affiliations or assets warrant disclosure. Disclosures are reviewed for conflicts with the employee's institutional responsibilities, and as warranted, the university determines whether the COI can be managed. The university creates written COI management plans to mitigate any actual or potential COI.

### Export Controls & Economic Sanctions

A central aspect of research security is adherence to export control laws and regulations and economic & trade sanctions. Export controls govern which research instruments, materials, software and technology that Mines, as a U.S. institution, can transfer out of the country by any means, and which sensitive items and technology we may share with international parties and foreign nationals. These regulations also inform the research and business partners with whom we engage, and under what conditions, so as to conform with all applicable U.S. economic & trade sanctions.

In summary, Mines recognizes the importance of complying with all U.S. laws and regulations and is fully committed to meeting these responsibilities. Thank you in advance for taking the time to understand your obligations, and to protect yourself and the University.

Sincerely,



**Paul C. Johnson**  
President and Professor



**Walter G. Copan**  
Vice President for Research and Technology Transfer



**Richard C. Holz**  
Provost and Professor



**Kirsten M. Volpi**  
Executive Vice President



**Anne S. Walker**  
Vice President and General Counsel



**John H. Bradford**  
Vice President for Global Initiatives and Professor